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Substitute for form 1449/PTO

Sheet 1

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

| Coi                    | mplete if Known  |  |
|------------------------|------------------|--|
| Application Number     | 10/698,096       |  |
| Filing Date            | October 31, 2003 |  |
| First Named Inventor   | Kenneth E. Narva |  |
| Art Unit               | 1653             |  |
| Examiner Name          |                  |  |
| Attorney Docket Number | MA-708CDC1       |  |

|                       | _            |   | U. S. PATENT                   | DOCUMENTS  |   |
|-----------------------|--------------|---|--------------------------------|--|---|
| Examiner<br>Initials* | Cite<br>No.¹ | Document Number                         | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|                       | -            | Number-Kind Code <sup>2 (# known)</sup> | 05-15-1984                     | Schnepf et al.                                     | (please review all)   |
| RAW                   | 1            | US- 4,448,885                           |                                |  |   |
|                       | 2            | <sup>US-</sup> 4,467,038                | 08-21-1984                     | Schnepf et al.                                     | (please review all)   |
|                       | 3            | US- 4,797,276                           | 01-10-1989                     | Herrnstadt et al.                                  | (please review all)   |
|                       | 4            | <sup>US-</sup> 4,853,331                | 08-01-1989                     | Herrnstadt et al.                                  | (please review all)   |
|                       | 5            | <sup>US-</sup> 4,918,006                | 04-17-1990                     | Ellar et al.                                       | (please review all)   |
|                       | 6            | US- 4,948,734                           | 08-14-1990                     | Edwards et al.                                     | (please review all)   |
|                       | 7            | US- 4,990,332                           | 02-05-1991                     | Payne et al.                                       | (please review all)   |
|                       | 8            | US- 5,039,523                           | 08-13-1991                     | Payne et al.                                       | (please review all)   |
|                       | 9            | <sup>US-</sup> 5,093,120                | 03-03-1992                     | Edwards et al.                                     | (please review all)   |
| $\neg \uparrow \neg$  | 10           | US- 5,126,133                           | 06-30-1992                     | Payne et al.                                       | (please review all)   |
| _                     | 11           | US- 5,151,363                           | 09-29-1992                     | Payne  | (please review all)   |
|                       | 12           | <sup>US-</sup> 5,164,180                | 11-17-1992                     | Payne et al.                                       | (please review all)   |
|                       | 13           | <sup>US-</sup> 5,169,629                | 12-08-1992                     | Payne et al.                                       | (please review all)   |
|                       | 14           | US- 5,204,237                           | 04-20-1993                     | Gaertner et al.                                    | (please review all)   |
|                       | 15           | ∪\$- 5,236,843                          | 08-17-1993                     | Narva et al.                                       | (please review all)   |
| 1                     | 16           | us- 5,262,399                           | 11-16-1993                     | Hickle et al.                                      | (please review all)   |
|                       | 17           | US- 5,270,448                           | 12-14-1993                     | Payne  | (please review all)   |
|                       | 18           | US- 5,281,530                           | 01-25-1994                     | Sick et al.  | (please review all)   |
| RAW                   | 19           | US- 5,322,932                           | 06-21-1994                     | Narva et al.                                       | (please review all)   |

|                       |              | FORE  | IGN PATENT DOCL     | IMENTS   |   |    |
|-----------------------|--------------|---|---------------------|--|---|----|
| Examiner<br>Initials* | Cite<br>No.1 | Foreign Patent Document   | Publication<br>Date | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages | ١. |
|                       |              | Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (if known) | MM-DD-YYYY          |  | Or Relevant Figures Appear                        | T° |
| RAW                   | 20           | EP 0 359 472  | 03-21-1990          | Adang et al.                                       | pls review all                                    |    |
| 1                     | 21           | WO 94/04684   | 03-03-1994          | Payne et al.                                       | pls review all                                    |    |
|                       | 22           | WO 94/05771   | 03-17-1994          | Lambert et al.                                     | pls review all                                    |    |
|                       | 23           | WO 94/21795   | 09-29-1994          | Warren et al.                                      | pls review all                                    |    |
|                       | 24           | WO 94/24264   | 10-27-1994          | Lambert et al.                                     | pls review all                                    |    |
| RAW                   | 25           | WQ 96/05314   | 02-22-1996          | Payne et al.                                       | pls review all                                    |    |

| Exeminer<br>Signature | /Robert A. Wax/ | Date<br>Considered | 06/26/2006 |
|-----------------------|-----------------|--------------------|------------|

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Complete if Known Substitute for form 1449/PTO **Application Number** 10/698,096 Filing Date October 31, 2003 INFORMATION DISCLOSURE First Named Inventor Kenneth E. Narva STATEMENT BY APPLICANT Art Unit 1653 (Use as many sheets as necessary) Examiner Name

Attorney Docket Number MA-708CDC1 Sheet 2

| Examiner<br>Initials* | Cite<br>No.1                                     | Document Number  Number-Kind Code <sup>2 (I known)</sup> | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--|--|--------------------------------|--|---|
| RAW                   | 26   | us- 5,350,577  | 09-27-1994                     | Payne  | (please review all)   |
| 27                    |  | US- 5,426,049  | 06-20-1995                     | Sick et al.  | (please review all)   |
|                       | 28   | US- 5,439,881  | 08-08-1995                     | Narva et al.                                       | (please review all)   |
|                       | 29   | US- 5.667,993  | 09-16-1997                     | Feitelson et al.                                   | (please review all)   |
|                       | 30   | <sup>US-</sup> 5,670,365                                 | 09-23-1997                     | Feitelson  | (please review all)   |
|                       | 31   | US- 5,770,696  | 06-23-1998                     | Warren et al.                                      | (please review all)   |
|                       | 32   | US- 5,840,868  | 11-24-1998                     | Warren et al.                                      | (please review all)   |
|                       | 33   | US- 5,849,870  | 12-15-1998                     | Warren et al.                                      | (please review all)   |
|                       | 34   | US- 5,866,326  | 02-02-1999                     | Warren et al.                                      | (please review all)   |
|                       | 35   | US- 5,872,212  | 02-16-1999                     | Warren et al.                                      | (please review all)   |
|                       | 36   | US- 5,877,012  | 03-02-1999                     | Estruch et al.                                     | (please review all)   |
| $\dashv$              | 37   | US- 5,888,801  | 03-30-1999                     | Warren et al.                                      | (please review all)   |
| RAW                   | 38   | US-5,889,174   | 03-30-1999                     | Warren et al.                                      | (please review all)   |
|                       |  | US-  |                                |  |   |
|                       |  | US-  |                                |  |   |
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|                    | -            | FORE  | IGN PATENT DOCL     | IMENTS   |   |    |
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| Examiner Initials* | Cite<br>No.1 | Foreign Patent Document   | Publication<br>Date | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages |    |
|                    |              | Country Code <sup>3</sup> "Number <sup>4</sup> "Kind Code <sup>5</sup> (If known) | MM-DD-YYYY:         |  | Or Relevant Figures Appear                        | Τ° |
| RAW                | 39           | WO 96/10083   | 04-04-1996          | Warren et al.                                      | pls review all                                    |    |
| RAW                | 40           | WO 98/18932   | 05-07-1998          | Feitelson et al                                    | pls review all                                    | -  |
| -                  |              |   |                     |  |   | ┢━ |
|                    |              |   |                     |  |   |    |
|                    |              |   |                     |  |   |    |

| Examiner<br>Signature | /Robert A. Wax/ | Date<br>Considered | 06/26/2006 |
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|--|----------|---------------------------------------|---|--------------------|-------------|
| Substitute for form 1                                    | 449/PTO  |                                       | Application Number  | 10/698,096         |             |
| INFORMA  | TION DIS | CLOSURE                               | Filing Date   | October 31, 2003   |             |
| STATEMENT BY APPLICANT (Use as many sheets as necessary) |          | PPLICANT                              | First Named Inventor  | Kenneth E. Narva   |             |
|  |          |                                       | Art Unit  | 1653               | <del></del> |
|  |          | Examiner Name                         |   |                    |             |
| Sheet 2  | a.f      | 14                                    | Attorney Docket Number  | MA-708CDC1         |             |

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| Examiner<br>Initials* | Cite<br>No.1 | NON PATENT LITERATURE DOCUMENTS  Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T² |
|-----------------------|--------------|--|----|
| RAW                   | 41           | ASANO, Shoji et al., "A Unique Activity in Bacillus thuringiensis Growth Medium," Appl. Entomol. Zool., 1994, pp. 39-45, vol. 29(1).   |    |
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|                       | 45           | ESTRUCH, J.J. et al., "Vip3A, A Novel Bacillus thuringiensis Vegetative Insecticidal Protein with a Wide Spectrum," Proc. Natl. Acad. Sci. USA, 1996, pp. 5389-5394, vol. 93   |    |
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|                       | 47           | GAERTNER, F.H. and Leo Kim, "Current Applied Recombinant DNA Projects," TIBTECH, 1988, pgs. 54-57, vol. 6(4).  |    |
|                       | 48           | GAERTNER, F.H., "Cellular Delivery Systems for," Controlled Delivery of Crop Protection Agents (R.M. Wilkins ed.) 1989, p. 245-255, Taylor and Francis, New York and London  |    |
|                       | 49           | GLEAVE, A.P. et al., "Identification of an Insecticidal Crystal Protein from Bacillus thuringiensis DSIR517," Journal of General Microbiology, 1992, pgs. 55-62, vol. 138.   |    |
| RAW                   | 50           | HOFTE, H. and H.R. Whiteley, "Insecticidal Crystal Proteins of Bacillus thuringiensis," Microbiological Reviews, 1989, pgs. 242-255, vol. 53(2).   |    |

| Examiner /Robert A. Wax/ Date 06/26/2006 |                       |                 |                    |            |
|--|-----------------------|-----------------|--------------------|------------|
| I Signature I                            | Examiner<br>Signature | /Robert A. Wax/ | Date<br>Considered | 06/26/2006 |

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| Substitu                                      | te for form 1449/PTO |                  |                           | Application Number                    | 10/698,096   |                    |
| INF   | ORMATION             | N DIS            | CLOSURE                   | Filing Date                           | October 31, 2003   |                    |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | First Named Inventor | Kenneth E. Narva |                           |                                       |  |                    |
|   |                      |                  | Art Unit                  | 1653                                  |  |                    |
| (Use as many sheets as necessary)             |                      |                  |                           | Examiner Name                         |  |                    |
| Sheet   | 4                    | of               | 4                         | Attorney Docket Number                | MA-708CDC1   |                    |

|                    |  |              | NON PATENT LITERATURE DOCUMENTS   |  |  |
|--------------------|--|--------------|---|--|--|
| Examiner Initials* |  | Cite<br>No.1 | Dite Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title  |  |  |
|                    |  | 51           | KRIEG, V.A. et al., "Bacillus thuringiensis var. tenebrionis, a new pathotype effective against larvae of Coleoptera," Z. Ang. Ent., 1983, pp. 500-508, vol. 96, Abstract.    |  |  |
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|                    |  | 53           | LI, Jade, "Bacterial Toxins," Current Opinion in Structural Biology, 1992, pp. 545-556, vol. 2.   |  |  |
|                    |  | 54           | SCHNEPF, H.E. and H.R. Whiteley, "Cloning and Expression of the Bacillus thuringiensis Crystal Protein Gene in," Proc. Natl. Acad. Sci. USA, 1981, pp. 2893-2897. vol. 78(5)  |  |  |
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| RAW                |  | 56           | SMULEVITCH, S.V. et al., "Nucleotide Sequence of a Novel *-Endotoxin Gene crylg of Bacillus thuringiensis ssp. galleriae," FEBS, 1991, pgs. 25-28, vol. 293(1-2).             |  |  |
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| Examiner<br>Signature | /Robert A. Wax/ | Date<br>Considered | 06/26/2006 | l |

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